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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	09/688,983
Filing Date	10/17/2000
First Named Inventor	Jeff S. Eder
Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	AR - 12

Sheet

of

U. S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 6,347,306 - B1	2-12-2002	Swart, Marius	
		US- 5,761,442 - B1	6-02-1998	Barr, Dean	
		US- 5,638,492 - B1	6-10-1997	Maeda, et al.	
		US- 6,324,553 - B1	11-27-2001	Agrawal et al.	
		US- 6,330,564 - B1	12-11-2001	Hellerstein et al.	
		US- 5,887,120 - B1	3-23-1999	Wicaly, Kelly	
		US- 6,909,708 - B1	6-21-2005	Krishnaswamy et al.	
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FOREIGN PATENT DOCUMENTS

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		Art Unit	3628		
		Examiner Name	Harish T. Dass		
Sheet		of		Attorney Docket Number	AR - 12

NON PATENT LITERATURE DOCUMENTS			
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		EVEREST, GORDON, Database Management, McGraw Hill, 1986	
		SIEGEL, JEREMY, "The Noisy Market Hypothesis", Wall Street Journal, June 14, 2006	

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Examiner Signature		Date Considered	
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Attorney Docket Number	VM - 12
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Harrish Dass

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11-14-02

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HTD		Anonymous, "Survey: Too Clever by Half", The Economist, January 24, 2004	

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Harish Dass

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Sheet	1	of	8

U. S. PATENT DOCUMENTS					
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HTD		US- 5,224,034 - B1	06-29-1993	Katz, Paul	
		US- 5,237,946 - B1	08-17-1993	Kagami, Akari	
		US- 5,128,861 - B1	07-07-1992	Kagami, Akari	
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		US- 3,933,305 - B1	01-20-1976	Murphy, John Michael	
		US- 4,989,141 - B1	01-29-1991	Lyons, Richard	
		US- 5,317,504 - B1	05-31-1994	Nakayama, Mamoru	
		US- 5,414,621 - B1	05-09-1995	Hough, John	
		US- 5,193,055 - B1	03-09-1993	Brown, Gordon	
		US- 5,809,282 - B1	09-15-1998	Cooper, Dennis	
		US- 5,875,431 - B1	02-23-1999	Heckman et al	
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		US- 6,112,188 - B1	08-29-2000	Harnett, William	
		US- 6,134,536 - B1	10-17-2000	Shepherd, Ian	

FOREIGN PATENT DOCUMENTS						
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		Country Code ² -Number ³ -Kind Code ⁴ (if known)				
HTD		EP 0 587 290 A2	03-16-1994	Powers et al		
HTD		GB 2 253 081 A	02-19-1992	Kaisha, Kabushi		

Examiner Signature	Harish Dass	Date Considered	11-14-07
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		Examiner Name	Harish T. Dass
Sheet 12	of 18	Attorney Docket Number	VM-12

U.S. PATENT DOCUMENTS					
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HTD		US- 6,078,901 - B1	6-20-2000	Ching, Hugh	
		US- 5,802,501 - B1	9-1-1998	Graff, Richard A.	
		US- 4,839,304 - B1	6-13-1989	Roberts et al	
		US- 6,148,293 - B1	11-14-2000	Douglas L. King	
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		US- 6,064,972 - B1	05-16-2000	Jankowitz, et al	
		US- 6,263,314 - B1	07-17-2001	Donner, Irah H.	
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		US- 5,704,045 - B1	12-30-1997	King et al	
		US- 5,704,055 - B1	12-30-1997	George et al	
		US- 5,644,727 - B1	07-01-1997	Atkins, Charles Agee	
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HTD	1	ZIPP, ALAN S.; Business valuation methods; 1993, AICPA	
	2	DAVIDOW, WILLIAM; Accounting systems are completely wrong, January 1995, Red Herring	
	3	MCTAGGERT, JAMES, KONTES, PETER AND MANKINS, MICHAEL, The value imperative, 1994, The Free Press	
	4	RAPPAPORT, ALFRED; Creating shareholder value; 1986, The Free Press	
	5	RITCHKEN, PETER, Options, Theory, Strategy and Applications, 1987, Foresman and Company	
	6	DIXIT, AVINASH & PINDYCK, ROBERT; Investment under uncertainty; 1994; Princeton University Press	
	7	GARSON, DAVID; Interpreting neural network connection weights, 4/1/1991, AI Expert	
	8	WELLSTEAD, STEPHEN; Neural network and fuzzy logic applications in C/C++; 1994; John Wiley & Sons	
	9	MOST, KENNETH; Accounting theory; 1977, Grid, Inc.	
✓	10	HENDRIKSEN, ELDEN, Accounting theory, 1982, Richard D. Irwin	

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H7D	11	KULKARNI, ARUN; Artificial neural networks for image understanding; 1/1/1994; Van Norstrand Reinhold	
	12	WARD SYSTEMS GROUP; NeuroWindows User Manual; 1993; Wards Systems Group	
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	14	FAULKNER, TERRENCE; Applying options thinking to R&D valuation; 5/1/1996; Research Technology Manage	
	15	MILLER, MERTON & MODIGLIANI, FRANCO, Dividend policy, growth and the valuation of shares, 10/1/1961,	
	16	SIMENSKY, MELVIN & BRYER, LANNING; The new role of intellectual property in commercial transactions,	
	17	WILSON, ALBERT, Emerging approaches to impaired property valuation, 4/1/1996, Appraisal Journal, v64	
	18	BROWN, GORDON T, Free cash flow appraisal, a better way, 4/1/1996, Appraisal Journal, V64, number 2,	
	19	BUSINESS EDITORS & REAL ESTATE INDUSTRY WRITERS, EQK Realty Investors I, 4/2/1992, Press Release	
	20	SWAD, RANDY, Business valuation, applicable standards for CPA's, 9/1/1995, CPA Journal v65, number 9	

Examiner Signature	Harish Dass	Date Considered	11-14-07
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H TO	21	REILLY, ROBERT; Valuation of intangibles for bankruptcy and reorganization purposes; 8/1/1994; Ohio	
	22	LIEBICH, KIM; How to value a bank; 8/1/1995; ABA Banking Journal	
	23	BAUMANN, BARBARA H & OXAAL, MARJORIE R; Estimating the value of a group medical practice, a primer;	
	24	MAXSON, MARK; Will you get your money's worth?, 5/1/1993, Financial Executive	
	25	FRIEDMAN, RICHARD; Business valuation: calculating it right; 10/1/1994; Practical Accountant	
	26	MULLEN, MAGGIE; How to value intangibles; 11/1/1993; Accountancy	
	27	STEWART, THOMAS; Trying to grasp the intangible; 10/2/1995 Fortune	
	28	OUROSOFF, ALEXANDRA; What the world's top brands are worth; 9/1/1992; Finance World	
	29	PHILLIPS BUSINESS INFORMATION, INC.; Five ways to reduce risk with neural networks; 9/27/1993; Credi	
	30	LIPPITT, JEFFREY & MASTRACCHIO, NICHOLAS, Developing capitalization rates for valuing a business, 11	

Examiner Signature	Harish T Dass	Date Considered	11-14-07
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Substitute for form 1449/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	09/688,983
		Filing Date	10/17/2000
		First Named Inventor	Jeff S. Eder
		Art Unit	3628
		Examiner Name	Harish T. Dass
Sheet 6 of 8	Attorney Docket Number	VM - 12	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
H70	31	HIRSCH, A. ETHAN, What's it worth?, 12/21/1992, Accounting Today, v6, number 24, p 16	
	32	MYERS, STEWART & HOWE, CHRISTOPHER; A life-cycle financial model of Pharmaceutical R&D; 4/1/1997; MIT	
	33	SIMON, CAROL J. & SULLIVAN, MARY W.; The Measurement and Determinants of Brand Equity; 10/1/1993; Ma	
	34	Sveiby, Karl Erik & Mellander, Klas; Tango Learning Guide Version 2.1; 1994; Celermi	
	35	KAUFMAN, J. JERRY; Value Management; 1998; Crisp	
	36	HBS Press; Measuring Corporate Performance; 1998; HBS Press	
	37	KAPLAN, ROBERT & NORTON, DAVID; The Balanced Scorecard; 1996; HBS Press	
	38	MORRIS, HENRY; Extending the Business Process, 10/6/98, IDC Presentation	
	39	AMIR, ELI; & LEV, BARUCH, "Value-relevance of non-financial information", Journal of Accounting and	
✓	40	ERNST & YOUNG, Measures that Matter	

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		Art Unit	3628
		Examiner Name	Harish T. Dass
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H70	41	BOUQUET, PAOLO, SEARAFINI, LUCIANO, et al; Modeling and Using Context - Context 99, 09/99, Springer	
	42	QUINN, JAMES BRIAN, Intelligent Enterprise, Free Press, 1992	
	43	KUEHNE, SVEN, et al, "SEQL: Category learning as progressive abstraction using structure mapping", 2	
	44	FRANKE, JURGEN, HARDLE, WOLFGANG, et al; Measuring Risk in Complex Stochastic Systems; 2000, Springe	
	45	SHIMPI, PRAKASH, Integrating Corporate Risk Management, 10/99, Swiss Re New Markets	
	46	BREWKA, GERHARD, Principles of Knowledge Representation, 1996, CSLI Publications	
	47	FOWLER, MARTIN; Analysis Patterns: Reusable Object Models, 1997, Addison Wesley	
	48	TISSSEN, RENE, ANDRIESSEN, DANIEL, et al; The Knowledge Dividend, 2000, Prentice Hall	
	49	BROWN, JOHN SEELY, et al, "Loosening up: How process networks unlock the power of specialization, 20	
	50	HULL, JOHN C., Options, futures and other derivatives, 2000, Prentice Hall	

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		First Named Inventor	Jeff S. Eder
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		Examiner Name	Harish T. Dass
Sheet 8 of 8	Attorney Docket Number	VM - 12	

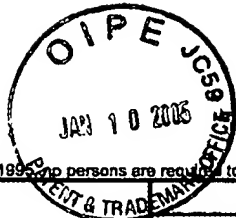
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HTD	51	DAVIDOW, WILLIAM, "Accounting systems are completely wrong", The Red Herring, January 1995, page 91	
	52	HAYES, ROBERT & ABERNATHY, WILLIAM, "Managing our way to economic decline", Harvard Business Review,	
	53	MODIGLIANA, FRANCO & MILLER, MERTON, "Dividend Policy, Growth and the Valuation of Shares", Journal	
	54	SIMON, CAROL & SULLIVAN, MARY, "A Financial Approach to estimating firm level brand equity", 92-116	
	55	ALEXANDER, CAROL, Risk Management and Analysis, John Wiley & Sons, 1998	
	56	FARQUHAR, PETER & HAN, JULIE, "Recognizing and measuring your brand assets" 91-119, Mkt. Sci. Inst.	
	57	"The future of finance", The Economist, December 11, 1999, pages 71-72	
	58	BAGHAI, MEHRDAD, COLEY, STEPHEN & WHITE, DAVID, "The Alchemy of Growth", Perseus Books, 1999	

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet

of

Application Number 09/688,983

Filing Date 10/17/2000

First Named Inventor Jeff S. Eder

Art Unit 3628

Examiner Name Harish T. Dass

Attorney Docket Number VM - 12

NON PATENT LITERATURE DOCUMENTS

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		KOLLER, TIMOTHY, "What is value based management", McKinsey Quarterly, 1994, Number 3	
HTD		BROWN, CAROL; COAKLEY, JAMES; PHILLIPS, MARY ELLEN, "Neural Networks Enter World of Mgmt Accounting,	✓
↓		BIELINSKI, DANIEL, "How to sort out the premium drivers of post deal value", Mergers & Acquisitions,	✓
↓		BERGSTROM, PETER; KIMBER ELIOT, "Formal data models for SGML and HyTime", SGML, March 1999, electrum	✓
		HAROLD, ELLIOTTE, XML Bible, IDG Books, 1999	
HTD		KNIGHT, JAMES, Value Based Management, McGraw Hill, 1998	✓
↓		NeuroSolutions, Application Summaries	✓
		COPELAND, TOM, KOLLER, TIM, MURRIN, JACK, Valuation, John Wiley and Sons, 1994	
		BROWN, CAROLYN, PHILLIPS, MARY ELLEN, Expert Systems for Management Accounting Tasks, IMA Foundation	✓
HTD			

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Signature

Harish Dass

Date
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11-14-07

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Art Unit	3628
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HTD		CAOQUETTE, JOHN, ALTMAN, EDWARD & NARAYANAN, PAUL, Managing Credit Risk, John Wiley and Sons, Inc.	

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STATEMENT BY APPLICANT**

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Application Number	09/688,983
Filing Date	10/17/2000
First Named Inventor	Jeff S. Eder
Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	AR - 12

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HTD		US- 6,073,115 - B1	6-06-2000	Marshall, Paul	
		US-			
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		Filing Date	10/27/2000		
		First Named Inventor	Jeff S. Eder		
		Art Unit	3628		
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H T D		Barua, Aniltesh; Lee, C.H. Sophie; Whinston, Andrew, "The Calculus of Reengineering", August 1994	
↑		Haesendonckx, Michel, "VBM - Value Driver Tree", June 8, 2005	
↓		Chambers, Robert; Quiggins, John; "Resource Allocation and Asset Pricing", November 2002	

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HTD		Culp, Christopher et al, "Value at Risk for Asset Managers", Derivatives Quarterly, Vol 5, 01/8/99	
		MAIER, DAVID, "Database Desiderata for an XML Query Language"; W3.org, 1998	
		WIDOM, JENNIFER, "Data Management for XML, Research Directions", IEEE, July 1999	
		W3C, "Extensible Markup Language (XML)", W3C web site, 4/14/2005	
		GOLDFARB, CHARLES; & PRESCOD, PAUL; XML Handbook; Prentice Hall, 1998	

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Substitute for form 1449/PTO		Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	09/688,983	
		Filing Date	10/27/2000	
		First Named Inventor	Jeff S. Eder	
		Art Unit	3628	
		Examiner Name	Harish T. Dass	
Sheet		of	Attorney Docket Number	AR - 12

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
H TO		Chicago Board of Trade, "SPAN Margin System", 8/27/1991	
↓		Chicago Mercantile Exchange, "SPAN - Frequently Asked Questions", CME web site, 2/17/2006	

Examiner Signature	Harish Dass	Date Considered	11-14-07
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	09/688,983
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Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	AR - 12

Sheet

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U. S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
H T D		US- 5,668,951 - B1	9-16-1997	Shintani, Peter	
		US- 5,819,237 - B1	10-6-1998	Garman, Mark	
		US- 5,794,219 - B1	8-11-1998	Brown, Stephen	
		US- 5,774,873 - B1	6-30-1998	Berent, Thomas	
		US- 6,026,397 - B1	2-15-2000	Sheppard, Colin	
		US- 6,453,297 - B1	9-17-2002	Burks, James	
		US- 6,173,176 - B1	1-19-2001	Kant et al	
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		US- 6,282,531 - B1	8-28-2001	Haughton, John	
		US- 6,249,768 - B1	6-19-2001	Tulskie, William	
		US- 6,332,163 - B1	12-18-2001	Bowman-Amuah, Michael	
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		US-			
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FOREIGN PATENT DOCUMENTS

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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
		WO 98 38588	2-28-1997	Mayon & White		

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Signature

Harish Dass

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11-14-07

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H70		DOWD, KEVIN; Beyond Value at Risk, John Wiley and Sons, Inc., 1998	
		PFEFFER, AVI; Bayesian language for cumulative learning; AAIL, 2000	
		APPRAISAL STANDARDS BOARD; Uniform standards of professional appraisal practice, 1997	
		DELOITTE, Valuing Intangible Assets, January 2006	

Examiner Signature	Harish Dass	Date Considered	11-14-07
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